COMPLETING THE 2012 SEI WEB FORM

FILLABLE & ELECTRONIC FILING

STATE ETHICS COMMISSION

JANUARY 2012

BEFORE YOU GET STARTED

NOTICE TO CANDIDATES:

If you have filed or will file a notice of candidacy for election to any of the following offices, please go to the SEI Candidate Filing page at http://www.ethicscommission.nc.gov/sei/candidateBlankForm.aspx:

Governor, Lt. Governor, Council of State, General Assembly, Justice/Judge, District Attorney, Clerk of Court.

- You must obtain an NCID
 - Go to https://ncid.nc.gov to obtain an NCID
- You must have Adobe Reader
 - Go to http://get.adobe.com/reader/ to download Adobe Reader
- If you filed a 2011 SEI and have had no changes since your SEI filing, you may file a "No Change Form."
- If you have had changes since your 2011 SEI filing or you are a first time filer, you must file a 2012 "Long Form."
- You must answer <u>ALL</u> questions, including sub-parts.
- If, after filing, you realize you failed to disclose any required information, please contact the State Ethics Commission/SEI Unit at 919-715-2071. Do <u>not</u> complete another SEI.

TABLE OF CONTENTS

	Slide(s) #
Choosing Your Filing Method	5
Log In Using NCID	6
Choosing the Appropriate Form	7
How to Use the Web Form	8-12
Save Your Information & Log Out	13
Log Back In	14-15
Attachments	16-18
Reviewing Your Responses	19
Affirming Your Responses	20-21
Correcting "Errors"	22-24
Filing with the State Ethics Commission	25-27
HELP! Contact Information	28

Go to the Commission's website at

www.ethicscommission.nc.gov



- Choose the "Statements of Economic Interest" drop down menu.
- Click on "SEI Form for Other Covered Persons"

STEP 1: CHOOSE YOUR FILING METHOD

Manual Filing

Print PDF document and handwrite your responses and mail or hand deliver your SEI

2012 SEI Long Form or 2012 SEI No Change Form



- Choose either the fillable web form or electronic filing &
- Click "Login"

Electronic Filing

Type your responses and file your SEI electronically

<u>:reate NCID Account</u>

2012 SEI Long Form or

<u>2012 SEI No Change Forn</u>

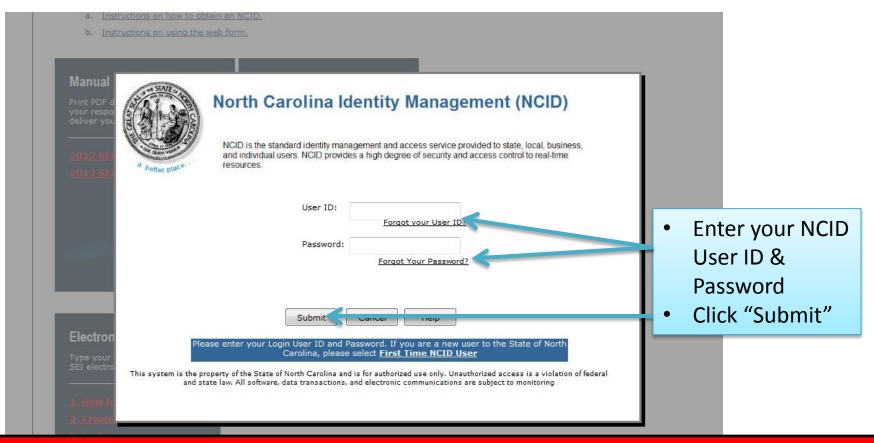


Please choose your filing method carefully.

Once you have chosen either "Fillable" or "Electronic," any information you have entered will not transfer to another form, and you must start over!

Reminder: Candidates cannot use electronic filing.

STEP 2: LOG IN USING YOUR NCID



You must have an NCID to access the SEI web form.

For questions about NCID, contact NC ITS at 919-754-6000 or toll free at 800-722-3946.

NCID is not administered by the State Ethics Commission.

STEP 3: CHOOSE THE APPROPRIATE FORM

Manual Filing

Print PDF document and handwrite your responses and mail or hand deliver your SEI

2012 SEI Long Form or 2012 SEI No Change Form

Fillable Web Form

Type your responses, print and mail or hand deliver your SEI

Create NCID Account

2012 SEI Long Form o

2012 SEI No Change Form

Electronic Filing

Type your responses and file your SEI electronically

Create NCID Account

<u>2012 SEI Long Form</u> or

2012 SEI No Change Form

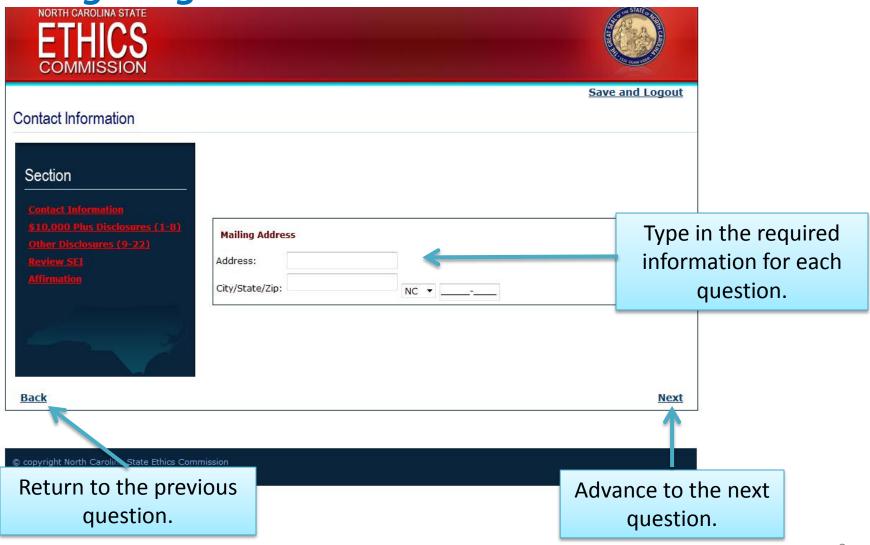
Choose either the "Long Form" or "No Change Form" for the filing method you selected (fillable or electronic).

Reminder:

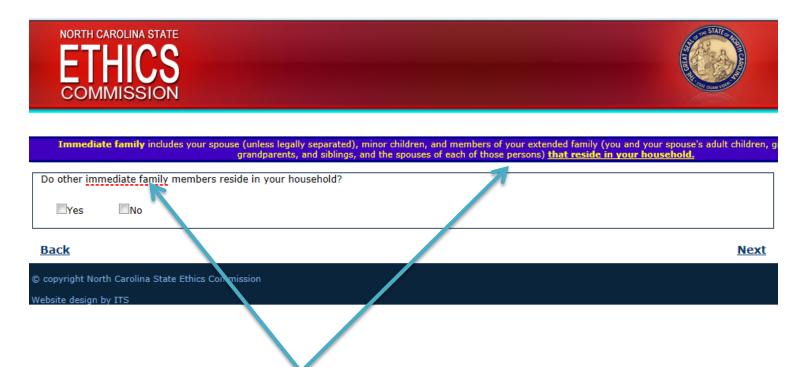
- If you have had changes since your
 2011 SEI filing, or you are a first time filer, you must use the "Long Form."
- If you filed a 2011 SEI and have had no changes since your 2011 filing, you may file a "No Change Form."
- If you have questions about which form to file, contact the State Ethics Commission/SEI Unit.

STEP 4: COMPLETING THE FORM

Navigating the Web Form



STEP 4: COMPLETING THE FORM Underlined Terms



- Additional information is available for terms <u>underlined</u> in red.
- Place your cursor over the underlined term to see the information.

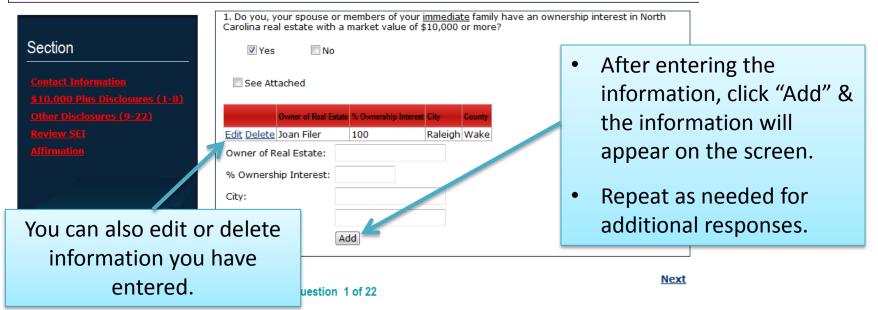
STEP 4: COMPLETING THE FORM Multiple Responses to Questions



\$10,000 Plus Disclosures

If you, your spouse or members of your immediate family have assets or liabilities with a market value of at least \$10,000 in the following categories, please provide the requested information as of December 31st of the preceeding year unless another time period is specified in the question.

- Do not list the value of those assets or liabilities.
- Do not list assets or liabilities held in a blind trust established by or for the benefit of you or an immediate family member.



STEP 4: COMPLETING THE FORM Using Attachments



\$10,000 Plus Disclosures

If you, your spouse or members of your <u>immediate</u> family have assets or liabilities with a market value of at least \$10,000 in the following categories, please provide the requested information as of December 31st of the preceeding year unless another time period is specified in the question.

- Do not list the value of those assets or liabilities.
- Do not list assets or liabilities held in a blind trust established by or for the benefit of you or an immediate family member.

Contact Information \$10,000 Plus Disclosures (1-8) Other Disclosures (9-22) Review SEI Affirmation

1. Do you, your spouse or members of your <u>immediate</u> family have an owne Carolina real estate with a market value of \$10,000 or more?

Ves No

See Attached

Instead of typing in your responses, you may include attachments by checking the "See Attached" box.

Back Question 1 of 22

STEP 4: COMPLETING THE FORM

Automatic Responses



6(a). Do you, your spouse, or members of your <u>immediate</u> family have financial interests valued at \$10,000 or more in a non-publicly owned company or business entity (including interests in sole proprietorships, partnerships, limited partnerships, joint ventures, limited liability companies, limited liability partnerships, and closely held corporations)?

Yes

lo i



6(b). For each of those non-publicly owned companies or business entities identified in question 6 (a) (the "primary company"), please list the names of any other companies in which the primary company owns securities or equity interests valued at over \$10,000, if known.

✓ None or Not Known



6(c). If you know that any company or business entity listed in 6(a) or (b) above has any material business dealings or business contracts with the State, or is regulated by the State, provide a brief description of that business activity.

✓ None or Not Known

Answering "No" to multipart questions will result in automatic "None or Not Known" responses to the sub-parts of the question.

Next

Question 6 of 22

STEP 5: SAVE & LOGOUT





Save and Logout

You can save your information & logout at any time.

\$10,000 Plus Disclosures



6(a). Do you, your spouse, or members of your immediate family have financial interests valued at \$10,000 or more in a non-publicly owned company or business entity (including interests in sole proprietorships, partnerships, limited partnerships, joint ventures, limited liability companies, limited liability partnerships, and closely held corporations)?

Yes

√ No

6(b). For each of those non-publicly owned companies or business entities identified in question 6 (a) (the "primary company"), please list the names of any other companies in which the primary company owns securities or equity interests valued at over \$10,000, if known.

✓ None or Not Known

6(c). If you know that any company or business entity listed in 6(a) or (b) above has any material business dealings or business contracts with the State, or is regulated by the State, provide a brief description of that business activity.

✓ None or Not Known

Back Next Question 6 of 22

STEP 5: LOG BACK IN







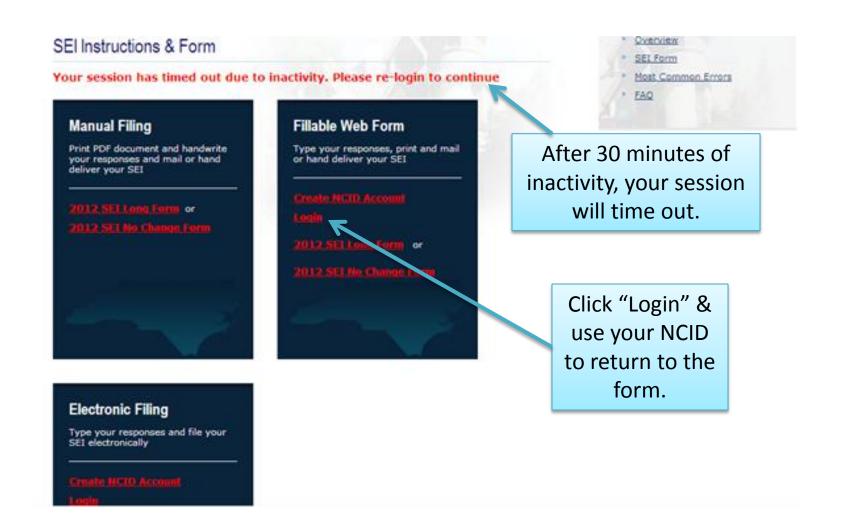
To log back in & access your form, click Login & use your NCID (See Steps 1 & 2).

Choose your form "In Progress."



Click "Remove Form in Progress" **only** if you want to delete all of your information & start a new form.

STEP 5: LOG BACK IN AFTER TIMING OUT

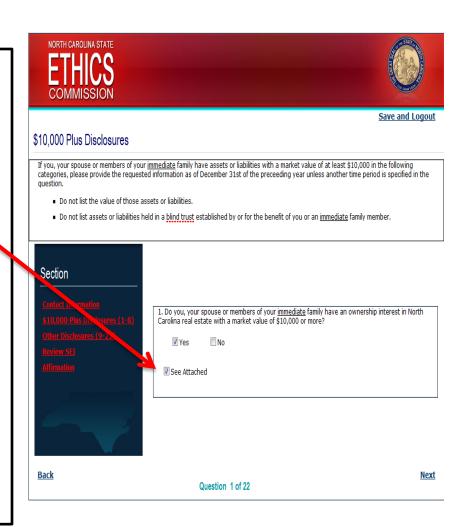


STEP 6: ATTACHMENTS - FILLABLE WEB FORM

If you are

- Completing the Fillable
 Web Form &
- Checked "See Attached" for any questions,

you must include the attachments when you mail or hand deliver your form to the Commission.



STEP 6: UPLOADING ATTACHMENTS - ELECTRONIC FILING ONLY



Attachments



If you answered "See Attached" on any questions, you may upload your attachments here.

- To upload, click "Select File," choose the file you want to upload, and click "Upload File".
- · You may upload multiple files.
- Please include the SEI question number to which you are responding on the attachment.
- Only PDF files can be uploaded.
- Maximum file size is 10MB.
- Please disclose only information required by each question on the SEI form.
- Please redact from any attachment(s) all identifying information, including but not limited to Social Security numbers, account numbers, and any other numbers or information that can be used to access a person's financial resources.

Attachments:

:\fakepath\Test SEI Uplo 🏻 🕙 Select File

The file is ready to be uploaded. Click the Upload File button below.

Upload File

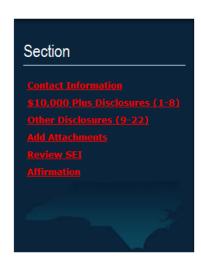
Then click "Upload File".

Click "Select File" & choose the attachment you want to upload.

STEP 6: UPLOADING ATTACHMENTS - ELECTRONIC FILING ONLY

Save and Logout

Attachments



If you answered "See Attached" on any questions, you may upload your attachments here. To upload, click "Select File," choose the file you want to upload, and click "Upload File". You may upload multiple files. Please include the SEI question number to which you are responding on the attachment. · Only PDF files can be uploaded. Maximum file size is 10MB. Please disclose only information required by each question on the SEI form. Please redact from any attachment(s) all identifying information, including but not limited to Social Security numbers, account numbers, and any other numbers or information that can be used to access a person's financial resources. Attachments: Select File Upload File File Name View Delete Test SEI Upload pdf.pdf

After uploading an attachment, the file name will appear on the screen.

You may also view or delete attachments.

Back Question of 22

Hint: If you select the wrong attachment, upload the file then delete it.

STEP 7: REVIEWING YOUR RESPONSES



Save and Logout

Review

Section Contact Information \$10,000 Plus Disclosures (1-8) Other Disclosures (9-22) Add Attachments Review SEI Affirmation

Click the link below to review a draft of your SEI.

Review SEI Responses

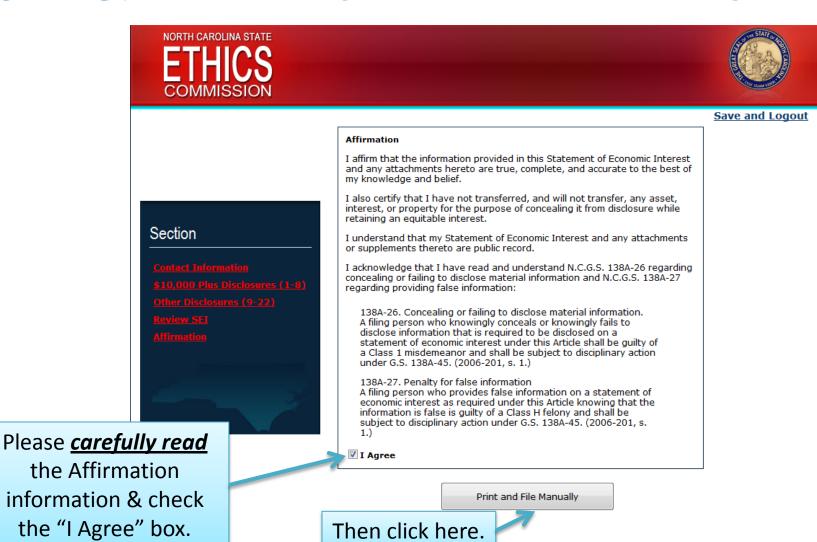
DO NOT submit this draft copy to the State Ethics Commission.

You must click the "Next" button at the bottom of the page to affirm and complete your SEI.

Click here to review a <u>draft</u> copy of your SEI in a pdf document.
You must have Adobe Reader to view your draft SEI.

<u>Back</u> Next

STEP 8: AFFIRMATION - FILLABLE WEB FORM



STEP 8: AFFIRMATION - ELECTRONIC FILING ONLY







Save and Logout

Section

Please carefully read the Affirmation information & check the "I Agree" box.

Then click here.

Affirmation

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and N.C.G.S. 138A-27 regarding providing false information:

138A-26. Concealing or failing to disclose material information. A filing person who knowingly conceals or knowingly fails to disclose information that is required to be disclosed on a statement of economic interest under this Article shall be guilty of a Class 1 misdemeanor and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

138A-27. Penalty for false information

A filing person who provides false information on a statement of economic interest as required under this Article knowing that the information is false is guilty of a Class H felony and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s.

I Agree. It is my intention that this check box constitutes my electronic signature. By checking this box I certify that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and

File Electronically and Print

Reminder: Candidates cannot use electronic filing.

STEP 9: CORRECTING ERRORS

Affirmation

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and N.C.G.S. 138A-27 regarding providing false information:

138A-26. Concealing or failing to disclose material information. A filing person who knowingly conceals or knowingly fails to disclose information that is required to be disclosed on a statement of economic interest under this Article shall be guilty of a Class 1 misdemeanor and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

138A-27. Penalty for false information A filing person who provides false information on a statement of

economic interest as required under this Article knowing that the information is false is guilty of a Class H felony and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

▼ I Agree

Print and File Manually

The following errors must be corrected before continuing:

. Additional data is required for the following questions: 7, 8, 10

Go to first error

Save and Logout

If you did not fully answer all questions, including subparts, you will receive an error message indicating which questions you did not answer.

Click here to go to the first error.

Back

Section

STEP 9: CORRECTING ERRORS



- After responding, click here to go to the next unanswered question.
- Do not click "Back" or "Next"

STEP 9: CORRECTING ERRORS





Save and Logout

Section

Contact Information \$10,000 Plus Disclosures (1-8 Other Disclosures (9-22) Review SEI Affirmation

Affirmation

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and N.C.G.S. 138A-27 regarding providing false information:

138A-26. Concealing or failing to disclose material information. A filing person who knowingly conceals or knowingly fails to disclose information that is required to be disclosed on a statement of economic interest under this Article shall be guilty of a Class 1 misdemeanor and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

138A-27. Penalty for false information
A filing person who provides false information on a statement of
economic interest as required under this Article knowing that the
information is false is guilty of a Class H felony and shall be
subject to disciplinary action under G.S. 138A-45. (2006 201, S.
1.)

I Agree

After correcting all errors, you must check "I Agree".

STEP 10: FILING - FILLABLE WEB FORM



NORTH CAROLINA STATE ETHICS COMMISSION

2012 STATEMENT OF ECONOMIC INTEREST

919-715-2071

www.ethicscommission.nc.gov

statement of economic interest under this Article shall be guilty of a Class 1 misdemeanor and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.) § 138A-27. Penalty for false information.

A filing person who provides false information on a statement of economic interest as required under this Article knowing that the information is false is guilty of a Class H felony and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

☑ I Agree	
Joan Filer	**Notarization is no longer required**
Printed Name	
Signature	Date

After correcting any errors & reaffirming your responses, you will be able to print your completed SEI.

Don't forget to sign, date & include any attachments.

You may file your signed, original SEI with the State Ethics Commission by

Mail

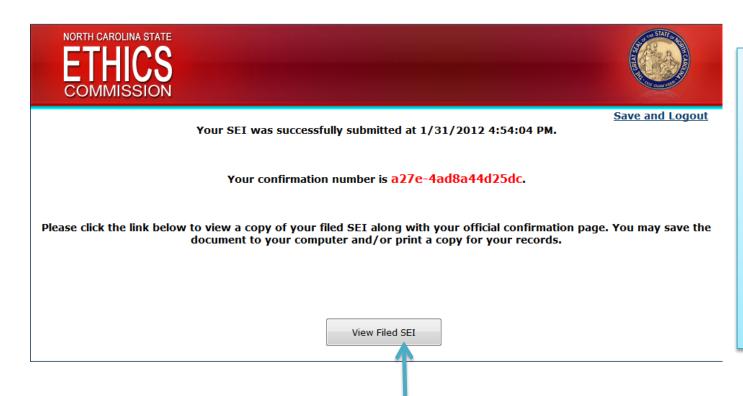
Hand Delivery

1324 Mail Service Center Raleigh, NC 27699-1324

424 N. Blount St. Raleigh, NC 27601

Candidates must file at the same location as they filed the notice of candidacy.

STEP 10: FILING — ELECTRONIC FILING ONLY



After
electronically
filing your SEI,
you will be given
a confirmation
number with the
date and time
your SEI was
successfully
filed.

Click here to open your filed SEI and print and/or save a copy.

Please keep a copy for your records.

Reminder: Candidates cannot use electronic filing.

STEP 10: FILING — ELECTRONIC FILING ONLY



NORTH CAROLINA STATE ETHICS COMMISSION 2012 STATEMENT OF ECONOMIC INTEREST

CONFIRMATION

Your SEI was successfully submitted at 1/31/2012 4:54:04 PM.

Your confirmation number is a27e-4ad8a44d25dc.

The following documents were attached and have been submitted with this filing:

Test SEI Upload pdf.pdf



A filing confirmation page is included at the end of the filed SEI.

Any attachments uploaded with your SEI are listed on the confirmation page.

Reminder: Candidates cannot use electronic filing.

HELP!

- NCID. Contact NC ITS at 919-754-6000 or toll free at 800-722-3946
- USING THE WEB FORM. Contact the State Ethics Commission/SEI Unit at
 - **-** 919-715-2071
 - <u>sei@doa.nc.gov</u>
- RESPONDING TO SEI QUESTIONS. Contact the State Ethics Commission/SEI Unit (see above).